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March 5, 2001

Box: Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Patent Application Serial No. 09/696,762  
Title: Investment Advice Systems and Methods  
Applicant: Mark Hoffman, et al.  
Filed: October 25, 2000  
Attorney Docket No.: UPM-001.01

Dear Sir:

I enclose herewith for filing in the above-identified application the following:

1. Response to Notice to File Missing Parts (in duplicate);
2. a copy of Notice to File Missing Parts;
3. check in the amount of \$1,024.00;
4. an executed Combined Declaration for Patent Application; and
5. Return Postcard.

Please charge any necessary fees, or credit any overpayments, to our Deposit Account No. 06-1448. The undersigned requests any extensions of time necessary to respond. A duplicate of this sheet is enclosed.

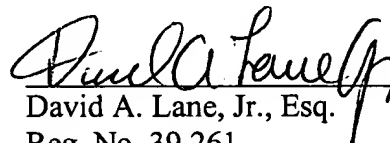
I hereby certify that this correspondence is deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Box: Missing Parts, Washington, D.C. 20231 on:

3/5/01

Date

C. E. Coker  
EUGENE COKER

Respectfully submitted,  
Customer No. 25,181  
Foley Hoag & Eliot LLP

  
David A. Lane, Jr., Esq.  
Reg. No. 39,261  
Attorney for Applicants

Date: March 5, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Mark Hoffman, et al.

Serial No.: 09/696,762

Filed: October 25, 2000

For: Investment Advice Systems and Methods

Attorney Docket No.: UPM-001.01

Group Art Unit: Not Assigned

Examiner: Not Assigned



Box: Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF  
NONPROVISIONAL APPLICATION**

Dear Sir:

This is in response to the Notice to File Missing Parts of Nonprovisional  
Application dated January 5, 2001.

Applicants' attorney submits herewith the executed Combined Declaration for  
Patent Application for the above-identified patent application. Enclosed is a check in the  
amount of \$1,024.00 to cover the basic filing fee, additional claim fee and surcharge  
based on Small Entity Status. **Applicant is entitled to Small Entity Status.** A copy of  
the Notice is also enclosed.

Please charge any underpayments or credit any overpayments to our Deposit

Account No. 06-1448. For this purpose, a duplicate of this document is enclosed.

I hereby certify that this correspondence is deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Box: Missing Parts, Washington, D.C. 20231 on:


3/5/01  
Date

C-E. Coker  
EUGENE COKER

Respectfully submitted,

Customer No. 25181

Foley Hoag & Eliot LLP



David A. Lane, Jr., Esq.

Reg. No. 39,261

Attorney for Applicants

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Tel.: (617) 832-1000

Dated: March 5, 2001

COPY

#3  
ADJ

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/696,762	10/25/2000	Mark Hoffman	UPM-001.01

025181  
FOLEY, HOAG & ELIOT, LLP  
PATENT GROUP  
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BOSTON, MA 02109DUE: 3.5.01  
FINAL: 8.5.01

## FORMALITIES LETTER



\*OC000000005657103\*

Date Mailed: 01/05/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted



An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1208.
  - \$648 for 36 total claims over 20.
  - \$560 for 7 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

- The balance due by applicant is \$ 2048.

03/12/2001 AGDITON 00000087 09696762

01 FC:201	355.00 OP
02 FC:205	65.00 OP
03 FC:203	324.00 OP
04 FC:202	280.00 OP

A copy of this notice **MUST** be returned with the reply.C. M...  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

RECEIVED

JAN 10 2001

PATENT DEPT.  
DOCKETING